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NASA Policy Directive

NPD 1440.6H

Effective Date: March 24, 2008

Expiration Date: March 24,
2013**COMPLIANCE IS MANDATORY**[Printable Format \(PDF\)](#)

Request Notification of Change

(NASA Only)

Subject: NASA Records Management

Responsible Office: Office of the Chief Information Officer

1. POLICY

It is NASA policy to:

- a. Accurately and completely make and preserve records containing documentation of the organization, functions, policies, decisions, procedures, and essential transactions that protect the legal and financial rights of the Government and persons directly affected by Agency activities as required by Federal Records Act, 44 U.S.C. §§ 3101 et seq., as codified in 36 CFR 1220-1238.
- b. Identify, select, preserve, and protect records, including temporary records, permanent records, and vital records (as defined in 36 CFR) against loss, theft, unauthorized release or change, as well as dangers posed by military attack, natural or human-made disasters, or other emergencies. This protection will ensure continuity of operations during and after an emergency, enabling the Agency to perform emergency preparedness, response and recovery, and the protection of Agency personnel and assets.
- c. Protect the trustworthiness of electronic records, including their reliability, authenticity, integrity, and usability to meet its internal business and legal needs, as well as external regulations and requirements.
- d. Effectively and efficiently manage its records, regardless of format or media (including paper, microform, electronic, and audiovisual), throughout their life cycle in order to facilitate the Agency's programmatic and administrative missions.
- e. Preserve, maintain, and only dispose of NASA records in accordance with authorized retention schedules, as directed by 36 CFR and implemented in NPR 1441.1, NASA Records Retention Schedules and the General Records Schedules. Destruction of any records, regardless of format, without an approved schedule is a violation of Federal

law.

2. APPLICABILITY

- a. This NASA Policy Directive (NPD) is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical Service Support Centers.
- b. This language applies to the Jet Propulsion Laboratory (JPL), other contractors, grant recipients, or parties to agreements who create and/or maintain records for, or on behalf of, NASA as specified or referenced in the appropriate contracts, grants, or agreements.
- c. This NPD applies to records, as defined by 44 U.S.C. 3301.

3. AUTHORITY

- a. 44 U.S.C. §§ 2901 et seq., Records Management by the Archivist of the United States and by the Administrator of the General Services.
- b. 44 U.S.C. §§ 3101 et seq., Records Management by Federal Agencies.
- c. 44 U.S.C. §§ 3301 et seq., Disposal of Records.
- d. Executive Order 12656, November 18, 1988, Assignment of Emergency Preparedness Responsibilities, as amended.
- e. 36 CFR, Volume 3, Chapter XII, Part 1220-1238, National Archives and Records Administration.

4. APPLICABLE DOCUMENTS

- > a. NPR 1441.1, NASA Records Retention Schedules.
- b. National Archives and Records Administration (NARA) General Records Schedules.

5. RESPONSIBILITY

- a. The NASA Chief Information Officer (CIO) shall:
 - (1) Exercise oversight and management of the records management function responsibility on behalf of the Administrator and the Agency.
 - (2) Ensure the establishment and maintenance of an active, continuing program for economic and efficient management of NASA records.
 - (3) Appoint an Agency Records Officer to oversee the Agency records management program.
 - (4) In compliance with 36 CFR 1234, ensure that records management and records

archival functions are addressed in the requirements development phase for the design, development, and implementation of new or significantly revised information systems.

(5) Integrate planning for electronic records management systems into plans for resource allocation and use, including budgeting, acquisition, and use of information technology.

b. The NASA Center Directors and the Director for Headquarters Operations shall:

(1) Ensure implementation of effective records management programs at their Centers.

(2) Designate a Center Records Manager and a Center Vital Records Manager.

c. NASA Center CIO's, in coordination with their Center Records Managers, shall:

(1) Ensure implementation of electronic records management in accordance with 36 CFR 1234 and 36 CFR 1228, Subpart K.

(2) Ensure that records management and archival functions are incorporated into the design, development, and implementation of new or significantly revised information systems.

d. Officials-in-Charge of Headquarters Offices, managers of NASA Center Directorates, and Program and Project Managers shall:

(1) Ensure execution of NASA records management functions within their respective organizations through the implementation of an information and records management infrastructure and processes are developed that clearly identify all records, associate records with appropriate retentions, and provide for proper disposition and/or archival throughout their life cycle.

(2) Designate and ensure training of an organizational Records Liaison Officer responsible for records management in their organization.

(3) Ensure that organizations generating statements of work for NASA contracts involving creation or maintenance of Federal records include in contracts appropriate records management requirements to comply with this NPD and its authorities.

e. The Assistant Administrator for Procurement shall ensure that contracting officers insert an appropriate contract provision concerning records management requirements in all NASA contracts involving the creation or maintenance of NASA records in accordance with this NPD, NPR 1441.1, and other applicable regulations and statutes.

f. All managers over NASA offices shall:

(1) Implement within their organizational units adequate training, processes, and controls to properly preserve their organization's official Agency records in accordance with applicable statutory and regulatory requirements.

(2) Promote access to information by NASA staff, Agency partners, and the public, as appropriate.

g. The NASA Historian and history representatives at NASA Centers, in coordination with the Agency Records Officer and Center Records Managers, shall provide guidance in identifying and recommending for preservation historical records or specialized collections of NASA or non-NASA material with historically significant value, referring material qualifying as records to the Center Records Managers for evaluation and

disposition identification, consistent with the authorities cited in paragraph 3 of this NPD and NPR 1441.1, NASA Records Retention Schedules.

h. The Agency Records Officer shall:

- (1) Provide overall management and control of the Agency Records Management program, including management of Agency records from creation to final disposition.
- (2) Develop and maintain policies, procedures, and guidance for Agency management of records, regardless of their format.
- (3) Ensure Agency records are properly scheduled for retention and disposition.
- (4) Oversee transfer of permanent records to the National Archives.
- (5) Maintain effective communication with the National Archives and Records Administration (NARA) officials and Center Records Managers.
- (6) Ensure that adequate records management training is provided to Agency personnel.

i. Center Records Managers shall:

- (1) Implement and oversee the records management program in their respective Centers.
- (2) Coordinate the activities of Records Liaison Officers within their Centers.
- (3) Provide advice on the management of records throughout their full life cycle, including appropriate and adequate storage, and proper records scheduling and disposition.
- (4) Consult with Records Liaison Officers and Center employees regarding liaison and employee responsibilities.
- (5) Communicate regularly and effectively with customers, Records Liaison Officers, and the Agency Records Officer concerning updates, changes, and issues in records management and electronic records.
- (6) Ensure the provision of supplemental Center records management training, as necessary.

j. Vital Records Managers, in coordination with their Center Records Managers and Emergency Preparedness Officers, shall facilitate the designation, maintenance, and protection of their Centers' vital records, as defined in 36 CFR 1236.14.

k. Records Liaison Officers shall:

- (1) Represent their organizations, programs, or projects to the Center Records Manager.
- (2) Implement records management procedures within their organizations, including developing file or records plans, conducting records inventories, identifying appropriate retention schedules, and retiring and dispositioning of records.

l. All NASA employees or organizations that create, maintain, and dispose of NASA-owned records shall:

- (1) Review and ensure that their records are in compliance with this NPD and other

applicable NASA policies and procedures.

(2) Identify records within their organization(s) and submit inventories and filing schemes through their respective Records Liaison Officer as required by the Center Records Manager and/or local policy.

6. DELEGATION OF AUTHORITY

The authority to establish and maintain a program for the management of Agency records is delegated to the NASA CIO who may further delegate this authority to the Agency Records Officer.

7. MEASUREMENTS/VERIFICATION

a. The Agency Records Officer will assess NASA compliance with current directives or regulations, as applicable, by:

(1) Conducting routine records management reviews to examine file plans, record inventories (regardless of medium), reduction(s) of onsite inactive records, and records management practices and archiving activities.

(2) Documenting and directing correction of discrepancies and/or missing data wherever possible.

b. Center Records Managers will, with cooperation of Records Liaison Officers and Program/Project Records Managers, assess their Center compliance with current directives or regulations, by:

(1) Conducting reviews to ensure that permanent and official records (regardless of medium) are selected, identified, located, and protected.

(2) Inspecting for appropriate facility standards, as specified by NARA and the NASA Records Officer, to ensure appropriate protection of records.

(3) Submitting annually to the NASA Records Officer any discrepancies indicating that records are not being protected, preserved, and maintained in compliance with current regulations.

(4) Documenting and correcting discrepancies or missing data wherever possible.

8. CANCELLATION

NPD 1440.6G, dated December 12, 2002.

/s/ Michael D. Griffin

Administrator

ATTACHMENT A: (TEXT)

REFERENCES:

- a. 5 U.S.C. § 552, The Freedom of Information Act, as amended.
- b. 5 U.S.C. § 552a, The Privacy Act of 1974, as amended.
- c. 44 U.S.C. §§ 3501 et seq., Paperwork Reduction Act.
- d. OMB Circular A-130, Management of Federal Information Resources.
- e. OMB Circular A-123, Management's Responsibility for Internal Control.
- f. NPR 1600.1, NASA Security Program Procedural Requirements.
- g. NPD 2810.1, Security of Information Technology.
- h. NPR 2810.1, Security of Information Technology.
- i. Federal Preparedness Circular (FPC) 60, Section 11, Continuity of the Executive Branch of the Federal Government at the Headquarters Level during National Security Emergencies.
- j. FPC 64, Section 11, Continuity of the Executive Branch of the Federal Government at the Regional Level During National Security Emergencies.

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